

FORM PTO-1390  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

1576.79

U.S. APPLICATION NO. (if known) (35 U.S.C. 1.5)

**DATE CANCELLED**  
MAR 01 1999  
MAR 01 1999

INTERNATIONAL APPLICATION NO.

PCT/JP98/03917

INTERNATIONAL FILING DATE

02 September 1998 (2.09.98)

PRIORITY DATE CLAIMED

02 September 1997 (2.09.97)

TITLE OF INVENTION

MOLECULAR COMPOUNDS CONTAINING PHENOL DERIVATIVES AS CONSTITUENT

APPLICANT(S) FOR DO/EO/US

AOKI, Izuo, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Copy of International Search Report; Copy of International Preliminary Examination Report (Japanese); Copy of Front Page of International Publication (WO99/11609); Copy of PCT Notification Concerning Submission of Priority Document(s); Certification of family-registry of deceased inventor (Izuo AOKI) in Japanese; English translation of same, and Declaration of translator.

U.S. APPLICATION NO. (if known serial CFR (s))

09/486981

INTERNATIONAL APPLICATION NO.  
PCT/JP98/03917ATTORNEY'S DOCKET NUMBER  
1576.7917. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5))**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO ..... \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$760.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS** PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(c)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	24 -20 =	4	X \$18.00
Independent claims	4 -3 =	1	X \$78.00

\$ 72.00

\$ 78.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable) +\$260.00

\$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 990.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement  
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$ 0.00

**SUBTOTAL =**

\$ 990.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

**TOTAL NATIONAL FEE =**

\$ 990.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 0.00

**TOTAL FEES ENCLOSED =**

\$ 990.00

Amount to be:  
refunded \$

charged \$

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 13-1992 in the amount of \$990.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-1992. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO

Louise A. Foutch  
Mason & Associates, P.A.  
17757 US Hwy 19 N  
Suite 500  
Clearwater, FL 33764

*Louise A. Foutch*  
SIGNATURE

Louise A. Foutch  
NAME

37,133  
REGISTRATION NUMBER

PATENTS

#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Izuo AOKI, et al. )  
S.N.: )  
Filed: ) Examiner: Unknown  
For: MOLECULAR COMPOUNDS CONTAINING )  
PHENOL DERIVATIVES AS )  
CONSTITUENT )

CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. §1.10

"Express Mail" mailing label number: EL520884074US  
Date of Deposit: February 28, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Diane Miller  
Diane Miller, Legal Assistant

Box PATENT APPLICATION  
Assistant Commissioner For Patents  
Washington, DC 20231

RECEIVED

27 APR 2000

Legal Staff  
International Division

SUBMISSION UNDER 37 C.F.R. § 1.44

Dear Sir or Madam:

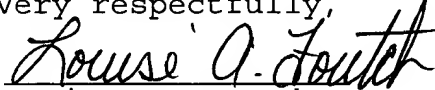
Applicants herein submit under 37 C.F.R. § 1.44 the Certification of the family-registry of inventor Mr. Izuo AOKI, deceased on January 7, 1999. The Certification registers the death of Mr. Izuo AOKI.

Under Japanese Civil Law, Article 887 and 890, Mrs. Midori AOKI, decedent's wife, and their minor child Keisuke AOKI, are

coheirs. Under Japanese Civil Law, Article 824, Mrs. Midori AOKI also represents the minor child, Keisuke AOKI.

Applicants, therefore, through their undersigned counsel, declare that Mrs. Midori AOKI has legal power to execute the Assignment and Declaration for and on behalf of the minor child, Keisuke AOKI.

Very respectfully,



Louise A. Foutch  
Mason & Associates, P.A.  
Mangrove Bay, Suite 500  
17757 U.S. Hwy 19 North  
Clearwater, FL 33765  
(727) 538-3800  
Reg. #37,133

Dated: 02/28/00

J:\AMEND2000\M0002012.DOC [1576.79]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Izuo AOKI, et al.	)	
	)	
Serial No.:	)	
	)	Examiner: Unknown
Filing Date:	)	
	)	Art Unit: Unknown
For: MOLECULAR COMPOUNDS CONTAINING	)	
PHENOL DERIVATIVES AS	)	
CONSTITUENT	)	

Box PATENT APPLICATION  
Assistant Commissioner For Patents  
Washington, DC 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EL520884074US  
Date of Deposit: February 28, 2000

I hereby certify that the following attached paper or fee

Post Card  
Express Mail Certificate  
Transmittal Letter to The United States Designated/Elected Office  
Preliminary Amendment  
Amendment Transmittal  
Submission Under 37 C.F.R. § 1.44  
Certification of Family-Registry of Deceased Inventor (Japanese)  
Certification of Family-Registry of Deceased Inventor (English Translation)  
Affidavit of Hiroyuki Imagawa as to English Translation  
Abstract (1 page)  
Claims (7 pages)  
Specification (288 pages)  
Drawings (28 pages)  
Assignment  
Assignment Cover Sheet  
Combined Declaration and Power of Attorney  
Copy of PCT Application  
Copy of International Search Report  
Copy of International Preliminary Examination Report (Japanese)  
Copy of Front Page of International Publication (W099/11609)  
Copy of PCT Notification Concerning Submission of Priority Document(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on

09/486981

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Assistant Commissioner  
For Patents  
February 28, 2000

Applicant: Izuo AOKI, et al.  
Serial No.:  
Filing Date:  
For: MOLECULAR COMPOUNDS CONTAINING PHENOL  
DERIVATIVES AS CONSTITUENT

the date indicated above and is addressed to the Assistant  
Commissioner For Patents, Washington, D.C. 20231.

Diane Miller, LA  
Mason & Associates, P.A.  
Mangrove Bay Office Centre  
17757 U.S. Hwy 19 North, Suite 500  
Clearwater, FL 33764-6559

  
(signature of person mailing)